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10/665,484	09/22/2003	Atsuhisa Saitoh	243004US2	6903

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EXAMINER
TO, BAOTRAN N

ART UNIT	PAPER NUMBER
2135	

NOTIFICATION DATE	DELIVERY MODE
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Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

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	Application No.	**Applicant(s)**
Office Action Summary	10/665,484	SAITOH ET AL.
	Examiner	**Art Unit**	
	Baotran N. To	2135	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>30 October 2007</u>.

2a)☒ This action is **FINAL**.   2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) <u>1-69</u> is/are pending in the application.

    4a) Of the above claim(s) <u>34-58,63,66 and 69</u> is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) <u>1-33,59-62,64,65,67 and 68</u> is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☐ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☐ Information Disclosure Statement(s) (PTO/SB/08)
    Paper No(s)/Mail Date _____.

4)☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____.

5)☐ Notice of Informal Patent Application

6)☐ Other: _____.

DETAILED ACTION

1.   This Office action is responsive to Applicant's Amendment filed 10/30/2007.

Claims 1, 9, 10, 17, 26, 27, 59, 61, 64, 65, 67, and 68 are amended.

Claims 34-58, 63, 66, and 69 are withdrawn.

Claims 1-33, 59-62, 64-65, 67 and 68 have been examined and rejected.

Response to Arguments

2.   Applicant's arguments filed 10/30/2007 have been fully considered but they are

not persuasive.

Applicant argues that "Arai fails to teach or suggest 'an operation control part

controlling an execution of **a predetermined operation to be performed on the**

document according to the operation requirement selected by said operation

requirement selection part,' as recited in Applicants' amended independent Claims 1

and 17" (Page 25 of Remarks).

Examiner respectfully disagrees with applicants. Arai expressly discloses, "The

file access is transmitted via communication route 501 to file I/O hook routine 400 as I/O

packet 600 (shown in FIG. 6), at step 703. Steps 703 to 712 represent the processing

sequence for file I/O hook routine 400. At step 704, the subject name and user name of

the file access request source are obtained from the process ID included in the I/O

packet 600. At steps 705 to 708, **the access type 602 is checked and the**

processing routine corresponding to the access type (file open, file close, file

read or write, or file delete or rename) is executed. If the access type is not any of

these types or the corresponding processing routine has been executed,

communication route 504 is used to return to step 713, processing by I/O manager 105"

(paragraphs 0054-0055). As explained above, the file reading or writing is a

predetermined operation to be performed on a document. Furthermore, Arai discloses

an example of open file table 100 is shown in FIG. 11 which is searched for the same

combination of object name 601 and process ID 603 that is in the received I/O packet,

and for the subject name 611 and user name 612 obtained from the process ID 603.

The access type is checked against the authorized access types. If the same

combination of object name 601, process ID 603, subject name 611, user name 612,

and access type 602 is found in table 1000, the processing sequence for this routine

ends. This means that if the access is found as registered in open file table, it is treated

as an authorized access and no processing is performed by the access control program

(paragraph 0066).

Applicant further argues claim 2 "The combination of Wolff and Arai do not

disclose or suggest the claimed 'wherein said operation requirement is a requirement

regarding security for said document' (Page 26 of Remarks).

Examiner respectfully disagrees. Arai explicitly discloses "An access control

system and its method that can prevent access to read or write into a file, no matter

what user right the access request source uses to attempt an unauthorized access. This

invention uses a policy that access to a specific file is authorized only when it is made

by a specific user using a specific program. In addition, the policy is registered in a

policy file 200 and the access information hooked by a file I/O hook program 106 is

transmitted through an inter-OS communication processor 108 to an access control

program 110 for a security OS 104 in order to perform access control according to said

policy" (Arai, Abstract).

Applicant further argues claim 14 "The combination of Wolff and Arai do not

disclose or suggest the claimed 'wherein said operation requirement requires

embedding a displayable label upon executing said predetermined operation with

respect to said document, said displayable label contains at least authentication data of

said user requesting said predetermined operation, a timestamp upon requesting said

predetermined operation' (Page 27 of Remarks).

Examiner respectfully disagrees. Wolff discloses wherein said operation

requirement requires embedding a displayable label upon executing said predetermined

operation with respect to said document (col. 6, lines 46-47), but Wolff does not disclose

said displayable label contains at least authentication data of said user requesting said

predetermined operation, and a timestamp upon requesting said predetermined

operation. However, Arai expressly discloses said document contains at least

authentication data of said user requesting said predetermined operation, a timestamp

upon requesting said predetermined operation (Figure 3, paragraph 0046). Therefore, it

would have been obvious to one of ordinary skill in the art at the time the invention was

made to have incorporated Arai's invention with Wolff to include authentication data of

said user requesting said predetermined operation, a timestamp upon requesting said

predetermined operation. One of ordinary skill in the art would have been motivated to

do so because it would prevent illegal or unauthorized accesses (Arai, paragraph 0007).

For at least the above reasons, it is believed that the rejection is maintained.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

3.   Claims 1-33, 59-62, 64, 65, 67 and 68 are rejected under 35 U.S.C. 103(a) as

being unpatentable over Wolff (U.S. Patent 5,848,413) hereinafter Wolff in view of Arai

et al. (U.S. Patent Application Publication 2001/0025311 A1) hereinafter Arai.

Regarding Claims 1, 59, 64 and 67, Wolff discloses an image forming device

comprising:

an identification information reading part reading identification information of a

document (col. 6, lines 30-35);

an operation requirement selection part selecting at least one operation

requirement specified according to said identification information (col. 5, lines 25-30);

and

Wolff does not disclose "an operation control part controlling an execution of a predetermined operation according to the operation requirement selected by said operation requirement selection part."

However, Arai discloses an operation control part controlling an execution of a predetermined operation according to the operation requirement selected by said operation requirement selection part (Figures 7 and 11, paragraph 0054 and 0055).

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have incorporated Arai's invention with Wolff to include an operation control part controlling an execution of a predetermined operation according to the operation requirement selected by said operation requirement selection part. One of ordinary skill in the art would have been motivated to do so because it would prevent illegal or unauthorized accesses (Arai, paragraph 0007).

Regarding Claims 17, 61, 65 and 68, Wolff discloses an image forming device comprising:

a document profile acquisition part transmitting identification information read from a document to an external server providing a document profile, and thereby receiving said document profile from said external server (Figure 2, element 202);

an operation requirement selection part selecting at least one operation requirement according to said document profile (col. 5, lines 25-30); and

Wolff does not disclose "an operation control part controlling an execution of a predetermined operation according to the operation requirement selected by said operation requirement selection part."

However, Arai discloses an operation control part controlling an execution of a predetermined operation according to the operation requirement selected by said operation requirement selection part (Figures 7 and 11, paragraph 0054 and 0055).

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have incorporated Arai's invention with Wolff to include an operation control part controlling an execution of a predetermined operation according to the operation requirement selected by said operation requirement selection part. One of ordinary skill in the art would have been motivated to do so because it would prevent illegal or unauthorized accesses (Arai, paragraph 0007).

Regarding Claims 2 and 18, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose wherein said operation requirement is a requirement regarding security for said document (Wolff, col. 6, lines 50-58 and Arai, Abstract).

Regarding Claims 3 and 19, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose wherein said predetermined operation is forming an image by electronic data (Wolff, col. 6, lines 23-65).

Regarding Claims 4 and 20, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose wherein said predetermined operation is printing said document on a paper (Wolff, Figure 2, col. 4, lines 18-26).

Regarding Claims 5 and 21, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose wherein said identification information reading part includes: an identification information recognition part recognizing data acquired by performing a predetermined reading operation with respect to said document, as said identification information; a document profile management part relating and managing said identification information and a document profile; and a document profile acquisition part acquiring said document profile related to said identification information recognized by said identification information recognition part by referring to said document profile management part (Wolff, Figures 2 and 4, col. 4, lines 18-26 and col. 5, lines 50-60).

Regarding Claims 6 and 22, Wolff and Arai disclose the limitations of claim 5 above. Wolff and Arai further disclose wherein said predetermined reading operation reads either a bar code, a two-dimensional code or a magnetic code printed on said document, or an RFID provided on said document so as to recognize the read data as said identification information when said document is a paper (Wolff, col. 6, lines 4-10 and 45-50).

Regarding Claims 7 and 23, Wolff and Arai disclose the limitations of claim

5above. Wolff and Arai further disclose wherein said predetermined reading operation

recognizes either a bar code, a two-dimensional code, numerical information, text

information or a dot pattern from electronic image data generated by reading said

document, as said identification information (Wolff, col. 6, lines 4-10 and 45-50).

Regarding Claims 8 and 25, Wolff and Arai disclose the limitations of claim 1

above. Wolff and Arai further disclose a user profile acquisition part acquiring a user

profile regarding a user requesting said predetermined operation (Wolff, Figure 11).

Regarding Claims 9 and 26, Wolff and Arai disclose the limitations of claim 8

above. Wolff and Arai further disclose wherein said user profile acquisition part

includes: a user identification information acquisition part acquiring user identification

information identifying said user from another user; a user profile management part

relating and managing said user identification information and said user profile; a user

authentication part authenticating said user according to said user identification

information; and a user profile reading part acquiring said user profile related to said

user identification information acquired by said user identification information acquisition

part by referring to said user profile management part according to a result of the

authentication by said user authentication part (Arai, Figures 7 and 11, paragraph 0053-

0055).

Regarding Claims 10 and 27, Wolff and Arai disclose the limitations of claim 8

above. Wolff and Arai further disclose wherein said user profile acquisition part

includes: a user identification information acquisition part acquiring user identification

information identifying said user from another user; and a user profile request part

requesting said user profile from an external server authenticating said user and

providing said user profile (Arai, Figure 11, paragraph 0063).

Regarding Claims 11, 28 and 60, Wolff and Arai disclose the limitations of claim

1 above. Wolff and Arai further disclose an operation requirement judgment part

judging whether or not said operation requirement is feasible; and an operation

prohibition part prohibiting said predetermined operation when a result of the judgment

by said operation requirement judgment part indicates that said operation requirement is

not feasible (Arai, paragraph 0067).

Regarding Claims 12 and 29, Wolff and Arai disclose the limitations of claim 1

above. Wolff and Arai further disclose wherein said operation requirement requires

embedding an electronic watermark upon executing said predetermined operation with

respect to said document (Wolff, col. 6, lines 40-56).

Regarding Claims 13 and 30, Wolff and Arai disclose the limitations of claim 1

above. Wolff and Arai further disclose wherein said operation requirement requires

embedding a displayable label upon executing said predetermined operation with

respect to said document (Wolff, col. 6, lines 40-56).

Regarding Claims 14 and 31, Wolff and Arai disclose the limitations of claim 9

above. Wolff and Arai further disclose wherein said operation requirement requires

embedding a displayable label upon executing said predetermined operation with

respect to said document, and said displayable label contains at least authentication

data of said user requesting said predetermined operation, and a timestamp upon

requesting said predetermined operation (Wolff, col. 6, lines 46-47 and Arai, Figure 3,

paragraph 0046).

Regarding Claims 15 and 32, Wolff and Arai disclose the limitations of claim 9

above. Wolff and Arai further disclose wherein said operation requirement requires

recording at least authentication data of said user requesting said predetermined

operation, document data of said document generated by said predetermined operation,

and a timestamp upon requesting said predetermined operation (Arai, Figure 3,

paragraph 0046).

Regarding Claims 16 and 33, Wolff and Arai disclose the limitations of claim 1

above. Wolff and Arai further disclose a delivery part delivering document data via a

network, the document data being generated by executing said predetermined

operation with satisfying said operation requirement enabling a network delivery of said document (Wolff, Figure 2, step 204).

Regarding Claims 24 and 62, Wolff and Arai disclose the limitations of claim 23 above. Wolff and Arai further disclose wherein said document profile acquisition part includes a portion acquisition part acquiring a predetermined portion representing a portion or all of said electronic image data, wherein said communication part transmits said predetermined portion of said electronic image data to said external server, and receives said document profile from said external server (Wolff, Figures 1 and 4, step 404).

Conclusion

4. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).
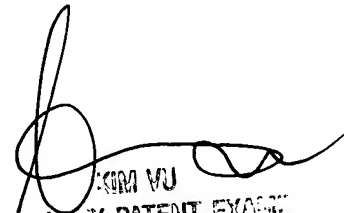
A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Baotran N. To whose telephone number is 571-272-8156. The examiner can normally be reached on Monday-Friday from 8:00 to 4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Y. Vu can be reached on 571-272-3859. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

BT
01/16/2008

KIM VU
PATENT EXAMINER